

Applicant/Patentee: Dorsey W. Stuart

Serial No.: 09/214,699

Filed on: January 8, 1999

For: NOVEL METHODS AND COMPOSITION FOR COMBINATORIAL-BASED DISCOVERY OF NEW MULTIMERIC MOLECULES

Docket No.: 239182001020

**VERIFIED STATEMENT CLAIMING SMALL ENTITY
STATUS 37 C.F.R. § 1.9(f) AND § 1.27(d) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

Name of nonprofit organization: Neugenesis Corporation

Address of nonprofit organization: 871 Industrial Road, Suite J, San Carlos, CA 94070

Type of nonprofit organization:

- ☐ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under a statute of a state of the United States of America

Name of state:

Citation of statute:

- ☒ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in the United States of America
☐ Would qualify as nonprofit scientific or educational organization under a statute of a state of the United States of America if located in the United States of America

Name of state:

Citation of statute:

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention entitled NOVEL METHODS AND COMPOSITION FOR COMBINATORIAL-BASED DISCOVERY OF NEW MULTIMERIC MOLECULES inventor described in:

- ☐ the specification filed herewith.
☒ application serial no 09/214,699 filed January 8, 1999.
☐ patent no. , issued .

I hereby declare that the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements answering to their status as small entities and that no rights to the invention are held by any person other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a non-profit organization under 37 § 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☐ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

NAME	ADDRESS	TYPE
University of Hawaii	2800 Woodlawn Drive, Suite 280, Manoa Innovation Center Honolulu, HI 96822	<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input checked="" type="checkbox"/> Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification or any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

TITLE IN ORGANIZATION OF PERSON SIGNING:

ADDRESS OF PERSON SIGNING:

SIGNATURE: W. Dorsey Stuart

DATE: 10/04/99

PTO/SB/11 (10-92)
dc-143535



Applicant/Patentee: Dorsey W. Stuart

Docket No.: 239182001020

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**VERIFIED STATEMENT CLAIMING SMALL ENTITY
STATUS 37 C.F.R. § 1.9(f) AND § 1.27(d) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

Name of nonprofit organization: University of Hawaii

Address of nonprofit organization: 2800 Woodlawn Drive, Suite 280, Manoa Innovation Center, Honolulu, HI 96822

Type of nonprofit organization:

- ☒ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under a statute of a state of the United States of America

Name of state:

Citation of statute:

- ☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in the United States of America
☐ Would qualify as nonprofit scientific or educational organization under a statute of a state of the United States of America if located in the United States of America

Name of state:

Citation of statute:

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- ☐ the specification filed herewith.
☒ application serial no. 09/214,699 filed January 8, 1999.
☐ patent no. , issued.

I hereby declare that the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements answering to their status as small entities and that no rights to the invention are held by any person other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a non-profit organization under 37 § 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☐ no such person, concern or organization exists.
☒ each such person, concern or organization is listed below.

NAME	ADDRESS	TYPE
Neugenesis Corporation	871 Industrial Road, Suite J, San Carlos, CA 94070	<input type="checkbox"/> Individual <input checked="" type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification or any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Glenn Nakamura

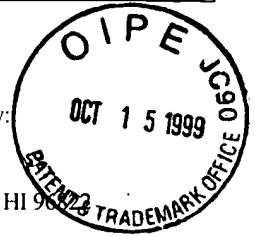
TITLE IN ORGANIZATION OF PERSON SIGNING: Associate Director

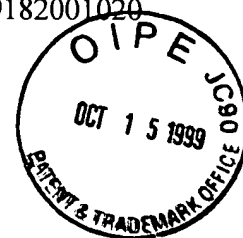
ADDRESS OF PERSON SIGNING: 2800 Woodlawn Drive, Suite 280

SIGNATURE: 

DATE: October 4, 1999

PTO/SB/H (10-92)
dc-143533





DECLARATION FOR UTILITY PATENT APPLICATION

AS A BELOW-NAMED INVENTOR, I HEREBY DECLARE THAT:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled: NOVEL METHODS AND COMPOSITIONS FOR COMBINATORIAL-BASED DISCOVERY OF NEW MULTIMERIC MOLECULES, the specification of which is attached hereto unless the following box is checked:

☒ was filed on January 8, 1999 as United States Application Serial No. 09/214,699.

I HEREBY STATE THAT I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing (day/month/year)	Priority Claimed?
08/678,462	US	7/9/96	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.	Filing Date	Status
PCT/US97/11425	June 30, 1997	<input checked="" type="checkbox"/> Patented <input type="checkbox"/> Pending <input type="checkbox"/> Abandoned

I hereby appoint the following attorneys and agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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Mani Adeli (Reg No. <u>39,585</u>)	Sanjay Bagade (Reg No. <u>42,280</u>)
Erwin J. Basinski (Reg No. <u>34,773</u>)	Frank P. Becking (Reg No. <u>42,309</u>)
Paula A. Borden (Reg No. <u>42,344</u>)	Sean Brennan (Reg No. <u>39,917</u>)
Barry E. Bretschneider (Reg No. <u>28,055</u>)	Nicholas Buffinger (Reg No. <u>39,124</u>)
Alan W. Cannon (Reg No. <u>34,977</u>)	Mark R. Carter (Reg No. <u>39,131</u>)
Robert K. Cerpa (Reg No. <u>39,933</u>)	Thomas E. Ciotti (Reg No. <u>21,013</u>)
Niki D. Cox (Reg No. <u>42,446</u>)	Raj S. Davé (Reg No. <u>42,465</u>)
E. Victor Donahue (Reg No. <u>35,492</u>)	Stephen C. Durant (Reg No. <u>31,506</u>)
Sean M. Fitzgerald (Reg No. <u>42,537</u>)	Cheryl L. Franke (Reg No. <u>P-44,113</u>)
Hector Gallegos (Reg No. <u>40,614</u>)	Douglas Hodder (Reg No. <u>41,840</u>)
Charles D. Holland (Reg No. <u>35,196</u>)	Madeline I. Johnston (Reg No. <u>36,174</u>)
Richard D. Jordan (Reg No. <u>33,519</u>)	Cindy S. Kaplan (Reg No. <u>40,043</u>)
Ararat Kapouytian (Reg No. <u>40,044</u>)	Phanesh B. Koneru (Reg No. <u>40,053</u>)
Antoinette F. Konski (Reg No. <u>34,202</u>)	Jung-Hua Kuo (Reg No. <u>41,918</u>)
Susan K. Lehnhardt (Reg No. <u>33,943</u>)	Wen Liu (Reg No. <u>32,822</u>)
David C. Lundmark (Reg No. <u>42,815</u>)	Harry J. Macey (Reg No. <u>32,818</u>)
Thomas D. Mays (Reg No. <u>34,524</u>)	Gladys H. Monroy (Reg No. <u>32,430</u>)
Kate H. Murashige (Reg No. <u>29,959</u>)	Dahna S. Pasternak (Reg No. <u>41,411</u>)
Catherine M. Polizzi (Reg No. <u>40,130</u>)	William C. Revelos (Reg No. <u>42,101</u>)
Robert Saltzberg (Reg No. <u>36,910</u>)	J. Michael Schiff (Reg No. <u>40,253</u>)
Debra A. Shetka (Reg No. <u>33,309</u>)	Lee K. Tan (Reg No. <u>39,447</u>)
E. Thomas Wheelock (Reg No. <u>28,825</u>)	Thomas G. Wiseman (Reg No. <u>35,046</u>)
Karen K. Wong (Reg No. <u>P-44,409</u>)	Frank Wu (Reg No. <u>41,386</u>)

and:

Please direct all communications to:

Kate H. Murashige
Morrison & Foerster LLP
2000 Pennsylvania Avenue, N.W.
Washington, D.C. 20006-1888

Please direct all telephone calls to Kate H. Murashige at (202) 887-1533.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1-00

10/04/99

Date



Name: Dorsey W. Stuart
Residence: 22 Madrone Avenue, San Francisco, CA 94127 CA
Citizenship: US
Post Office Address: San Francisco, CA 94127

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